



## F A X C O V E R

Date November 20, 2001 Number of pages (including cover): 22

To United States Patent and Trademark Office, Washington, D.C. 20231  
Technology Center 2100

Applicant Kevin J. Dowling and Scott Johnston

Serial No: 09/886,958

Filing Date: June 21, 2001

Title: METHOD AND APPARATUS FOR CONTROLLING A  
LIGHTING SYSTEM IN RESPONSE TO AN AUDIO INPUT

Art Unit: 2173

Fax Number: 1-703-746-7240

Number of Pages (including Cover Sheet): 22

ORIGINAL DOCUMENTS SENT: 1st Class Mail 1 Overnight Mail 1 Air Mail  Not Sent

CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that a Transmittal Letter, a Response to the Notice to File Missing Parts, a Copy of Notice to File Missing Parts of Nonprovisional Application, a Declaration for Patent Application, a Petition for One Month Extension of Time, a Preliminary Amendment, and Nine Sheets of Formal Drawings (a total of 24 pages including cover sheet) are being facsimile transmitted to the United States Patent and Trademark Office, Technology Center 2100, in accordance with 37 C.F.R. §1.6(d) to Fax No. 703-746-7240 on the date shown below.

Joseph Teja, Jr.

Typed or Printed Name of Person  
Signing Certification

Date: November 20, 2001

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Wolf Greenfield Fax Number: 617.720.2441

Wolf, Greenfield & Sacks, P.C. | 600 Atlantic Avenue | Boston, Massachusetts 02210-2206

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ATTORNEY'S DOCKET NO: C01104/70005

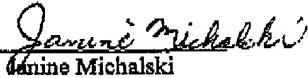
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling and Scott Johnston  
Serial No: 09/886,958  
Filed: June 21, 2001  
For: METHOD AND APPARATUS FOR CONTROLLING A  
LIGHTING SYSTEM IN RESPONSE TO AN AUDIO INPUT

Examiner: Unassigned  
Art Unit: 2173

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being facsimile transmitted in accordance with 37 C.F.R. §1.6(d) to the Commissioner for Patents at the United States Patent and Trademark Office, Technology Center 2100, Customer Service Center, fax number 1-703-746-7240, on the 20th day of November, 2001.

  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RESPONSE TO THE NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice to File Missing Parts mailed August 23, 2001, Applicants respectfully submit for filing an original document entitled Declaration for Patent Application and nine sheets of formal drawings (Figs. 1-10).

Please charge the fee of \$1,567.00 for payment of the basic filing fee, the fee for additional claims, the surcharge, and the One Month Extension fee to our Deposit Account No. 23/2825. Please credit any overpayment or charge any deficiency in the enclosed fees to Deposit Account No. 23/2825.

Respectfully submitted,

Kevin J. Dowling and Scott Johnston

By: 

Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500

Docket No. C01104/70005  
Dated: November 20, 2001

576727.1



UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/886,958	06/21/2001	Kevin Dowling	C01104/70005 RFG

CONFIRMATION NO. 5019

23628  
WOLF GREENFIELD & SACKS, PC  
FEDERAL RESERVE PLAZA  
600 ATLANTIC AVENUE  
BOSTON, MA 02210-2211

FORMALITIES LETTER



"0C000000006466626"

Date Mailed: 08/23/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1048.
  - \$648 for 72 total claims over 20.
  - \$400 for 10 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1468.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

12/07/2001 ETULU1 00000014 232825 09886958  
01 FC:201 370.00 CH  
02 FC:203 657.00 CH  
03 FC:202 420.00 CH  
04 FC:205 65.00 CH

Received from <6177202441> at 11/20/01 7:04:15 PM [Eastern Standard Time]

12/10/2001 ETULU1 00000024 232825 09886958  
01 FC:203

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE